

ATTORNEY DOCKET NO.: 0341941-0031(HU 01431-97/BU 97-59)

IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

Applicant:

Jarrell et al.

Serial No.:

(X)

Filed:

August 26, 1998

For:

NOVEL TRANSCRIPTIONAL REGULATORS AND USES THEREFOR

VERIFIED STATEMENT (DECLARATION) CLAIMING SMALL ENTITY STATUS 37 CFR 1.9(f) and 1.27(d) NON-PROFIT ORGANIZATION

I hereby declare that I am an official empowered to act on behalf of the non-profit organization identified below:

NAME OF ORGANIZATION: President and Fellows of Harvard College ADDRESS OF ORGANIZATION: 17 Quincy Street, Cambridge, MA 02138 TYPE OF ORGANIZATION:

University or other organization of higher education

· ·	
()	Non-profit scientific or educational organization under a statute of a state of the United States of America NAME OF STATE: CITATION OF STATUTE:
()	Would qualify as tax exempt under the Internal Revenue Service Code (26 USC 501(a) and 501(c) (3) if the organization were located in the United States of America
()	Tax exempt under the Internal Revenue Service Code (26 USC 501(a) and 501(c) (3).
()	Would qualify as a non-profit scientific or educational organization under a statute of a state of the United States of America NAME OF STATE: CITATION OF STATUTE:
	CITATION OF STATUTE.

I hereby declare that the above-identified non-profit organization qualifies as a non-profit organization as defined in 37 CFR 1.9(e), for purposes of paying reduced fees under section 41(a) and (b) of Title 35, United States Code.

I hereby declare that rights under contract or law have been conveyed to and remain with the above-identified non-profit organization with regard to the invention titled:

TITLE: Novel Transcriptional Regulators and Uses Therefor				
INVENTOR(described in:	S): Kevin A, Jarrell, Samol Saha and Mark Ptashne			
()	the specification filed herewith			
(X)	U.S. Patent Application Scrial Number filed			
()	U.S. Patent Numberissued			
concern, or o invention are business conc	of the above-identified non-profit organization are not exclusive, each individual, organization having rights to the invention is listed below* and no rights to the held by any person, other than the inventor(s), who could not qualify as a small ern under 37 CFR 1.9(d) or a non-profit organization under 37 CFR 1.9(e).			
"NOTE: Se organization 1.27).	parate verified statements are required from each named person, concern, or saving rights to the invention, averring to their status as small entities. (37 CFR			
FULL NAME	Trustees of Boston University			
ADDRESS:	108 Bay State Road, Boston, MA 02215			
() INDIVIDU				
FULL NAME				
ADDRESS: () INDIVIDU	AL () SMALL BUSINESS CONCERN () NON-PROFIT ORGANIZATION			
FULL NAME				
ADDRESS: () INDIVIDU	AL () SMALL BUSINESS CONCERN () NON-PROFIT ORGANIZATION			
I acknowledge resulting in los	the duty to file, in this application or patent, notification of any change in status as of entitlement to small entity status prior to paying, or at the time of paying, the			

earliest of the issue fee or any maintenance fee due after the date on which status as a small entity is no longer appropriate. (37 CFR 1.28(b))

I hereby declare that all statements made herein of my own knowledge are true and that all statements made on information and belief are believed to be true; and further that these statements were made with the knowledge that willful false statements and the like so made are punishable by fine or imprisonment, or both, under §1001 of Title 18 of the United States Code,

and that such willful false statements may jeopardize the validity of the application, any patent issuing thereon, or any patent to which this verified statement is directed.

NAME OF PERSON SIGNING:

TITLE IN ORGANIZATION:

ADDRESS OF PERSON SIGNING:

President and Fellows of Harvard College

17 Quincy Street, Cambridge, MA 02138

SIGNATURE: DS1.424761.1

JOYCE BRINTON, DIRECTOR OFFICE OF TECHNOLOGY & TRADEMARK LICENSING

HARVARD UNIVERSITY





ATTORNEY DOCKET NO.: 0341941-0031(HU 01431-97/BU 97-59)

IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

Applicant: Serial No.: Jarrell et al.

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NOVEL TRANSCRIPTIONAL REGULATORS AND USES THEREFOR

VERIFIED STATEMENT (DECLARATION) **CLAIMING SMALL ENTITY STATUS** 37 CFR 1.9(f) and 1.27(d) **NON-PROFIT ORGANIZATION**

I hereby declare that I am an official empowered to act on behalf of the non-profit organization identified below:

NAME OF ORGANIZATION:

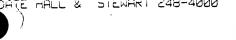
Trustees of Boston University

ADDRESS OF ORGANIZATION: 147 Bay State Road, Boston, MA 02215

TYPE OF ORGANIZATION:

(X)	University or other organization of higher education
()	Non-profit scientific or educational organization under a statute of a state of the United States of America NAME OF STATE: CITATION OF STATUTE:
()	Would qualify as tax exempt under the Internal Revenue Service Code (26 USC 501(a) and 501(c) (3) if the organization were located in the United States of America
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	Would qualify as a non-profit scientific or educational organization under a statute of a state of the United States of America NAME OF STATE: CITATION OF STATUTE:

I hereby declare that the above-identified non-profit organization qualifies as a non-profit organization as defined in 37 CFR 1.9(e), for purposes of paying reduced fees under section 41(a) and (b) of Title 35, United States Code.





TITLE: by:	Novel Transcriptional Regulators and Uses Therefor
INVENTOR(S) described in:	: Kevin A. Jarrell, Samol Saha and Mark Ptashne
(X) (he specification filed herewith J.S. Patent Application Serial Number filed U.S. Patent Number issued
concern, or or invention are h business concer	the above-identified non-profit organization are not exclusive, each individual, ganization having rights to the invention is listed below* and no rights to the seld by any person, other than the inventor(s), who could not qualify as a small or under 37 CFR 1.9(d) or a non-profit organization under 37 CFR 1.9(e). The above-identified non-profit organization are not exclusive, each individual, ganzate verified statements are required from each named person, concern, or arate verified statements are required from each named person, concern, or arate verified statements are required from each named person, concern, or
*NOTE: Sep organization had 1.27).	arate venified statements are required from custs manded purposes, are required from custs manded purposes, (37 CFR eving rights to the invention, averring to their status as small entities. (37 CFR
FULL NAME:	President and Fellows of Harvard College
ADDRESS: () INDIVIDUA	17 Quincy Street, Cambridge, M A 02138
FULL NAME: ADDRESS: () INDIVIDUA	THE PROPERTY OF A NONE PROPERTY OR GANIZATION
FULL NAME:	
ADDRESS: () INDIVIDUA	THE THE CONCERN () NON PROFIT ORGANIZATION

I acknowledge the duty to file, in this application or patent, notification of any change in status resulting in loss of entitlement to small entity status prior to paying, or at the time of paying, the earliest of the issue fee or any maintenance fee due after the date on which status as a small entity is no longer appropriate. (37 CFR 1.28(b))

I hereby declare that all statements made herein of my own knowledge are true and that all statements made on information and belief are believed to be true; and further that these statements were made with the knowledge that willful false statements and the like so made are punishable by fine or imprisonment, or both, under §1001 of Title 18 of the United States Code, and that such willful false statements may jeopardize the validity of the application, any patent issuing thereon, or any patent to which this verified statement is directed.



NAME OF PERSON SIGNING: TITLE IN ORGANIZATION: ADDRESS OF PERSON SIGNING: Matthew J. Burns

Assistant Treasurer

Trustees of Boston University

108 Bay State Road, Boston, MA 02215

DATE:

MATTHEW J. BURNS ASSISTANT TREASURER BOSTON UNIVERSITY

DECLARATION

As a below named inventor, I hereby declare that:

My residence, post office address and citizenship are as stated below next to my name,

I believe I am the original, first and sole inventor (if only one name is listed below) or an original, first and joint inventor (if plural names are listed below) of the subject matter which is claimed and for which a patent is sought on the invention entitled:

NOVEL TRANSCRIPTIONAL REGULATORS AND USES THEREFOR

NOVEL I	RANSCRIPTION	AL REGULEXPOINT		
the specification of three choices, and f	which (I authorize	: Choate, Hall & Stewart to che f applicable):	ck one of the follow	ring,
	ached hereto			٠
was fil Scria	led on 1 No ²	as Application and amended on	(if applicable).	
on August 2	filed as PCT inter 6, 1998 and was	national application No. <u>PCT/U</u> amended under PCT Article 19 (if applicable).	<u>\$98/17691</u>)	
		ewed and understood the content amended by any amendment re	ts of the above-ident ferred to above.	tified
I acknowled this application in a	lged the duty to di accordance with T	sclose information which is mai itle 37, Code of Federal Regula	terial to the examinations, §1.56.	•
I hereby cla foreign applications below any foreign of the application ((s) for patent or in application for pat	y benefits under Title 35, United rventor's certificate listed below tent or inventor's certificate hav is claimed:	i States Code, §119 and have also identing a filing date bef	of any ified ore tha
Prior Foreign App	lication(s):	Priority Claimed		
(Number)	(Country)	(Day/Month/Year/Filed)	Yes No	
(Number)	(Country)	(Day/Month/Year/Filed)		
			- C100 of over I Inite	∽i State

I hereby claim the benefit under Title 35, United States Code, §120 of any United States application(s) or PCT international application(s) designating the United States of America

listed below and, insofar as the subject matter of each of the claims of this application is not disclosed in the prior United States application in the manner provided by the first paragraph of Title 35, United States Code, §112, I acknowledge the duty to disclose material information as defined in Title 37, Code of Federal Regulations, §1.56 which became available between the filing date of the prior application and the national or PCT international filing date of this application:

application:		
(Application Serial No.)	(filing date)	(status-patented, pending, abandoned)
PCT Applications designs	ating the United Stat	tes:
(PCT Appl. No.)	(U.S.S.N.)	(status-patented, pending, abandoned)
provisional application(s) application is not disclose paragraph of Title 35, Ur	listed below and, in ed in the prior Unite nited States Code, §I ntability as defined in the filing date of t	35, United States Code, §119(e) of any United States asofar as the subject matter of each of the claims of this ad States application in the manner provided by the first 112, I acknowledge the duty to disclose information in Title 37, Code of Federal Regulations, §1.56 which the prior application and the national filing date of this
60/056,857	August 27, 1997	pending
Application Number	Filing Date	Status
Application Number	Filing Date	Status
statements made on infor- were made with the know	rmation and belief a wildful f	nade herein of my own knowledge are true and that all are believed to be true; and further that these statements false statements and the like so made are punishable by 1001 of Title 18 of the United State Code and that such validity of the application or any patents issued thereon.

Invento

Full name of first inventor: Kevin A. Jamell

Inventor's signature:

Residence: 3 Acorn Lane, Lincoln, MA 01773

Citizenship: U.S.A. /MA

Post Office Address: same

Full name of second inventor: Samol Saha	Date:
Inventor's signature:	<i>D</i>
Residence: 24 Sunset Road, Arlington, MA 02474	
Citizenship: Swedish	
Post Office Address: same	
Full name of third inventor: Mark Ptashne	Date:
Inventor's signature:	Jaw
Residence: 1075 Park Avenue, New York, NY 10120	
Citizenship: U.S.A.	
Post Office Address: same	





DECLARATION

As a below named inventor, I hereby declare that:

My residence, post office address and citizenship are as stated below next to my name,

I believe I am the original, first and sole inventor (if only one name is listed below) or an original, first and joint inventor (if plural names are listed below) of the subject matter which is claimed and for which a patent is sought on the invention entitled:

NOVEL TRANSCRIPTIONAL REGULATORS AND USES THEREFOR

the specification of three choices, and		ize Choate, Hall & Stewart to if applicable):	check or	ne of the following,
is a	ttached hereto			
was i	filed on ial No	as Application and amended on		(if applicable).
on August		ernational application No. PCT as amended under PCT Article (if applicable).		<u>7691</u> .
		viewed and understood the con as amended by any amendmen		
		disclose information which is r Title 37, Code of Federal Regu		
foreign application	n(s) for patent or in application for particular in the second of the se	ity benefits under Title 35, Uninventor's certificate listed beloatent or inventor's certificate his claimed:	ow and l	have also identified
Prior Foreign App	olication(s):	Priority Claime	ed	
(Number)	(Country)	(Day/Month/Year/Filed)	Yes	No
(Number)	(Country)	(Day/Month/Year/Filed)	Yes	No

I hereby claim the benefit under Title 35, United States Code, §120 of any United States application(s) or PCT international application(s) designating the United States of America



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аррисанон:		
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PCT Applications designa	ting the United Sta	tes:
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Provisional Application(s)	:	
60/056,857 Application Number	August 27, 1997 Filing Date	pending Status
Application Number	Filing Date	Status
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Full name of first invento	r: Kevin A. Jarre	11
Inventor's signature:		Date:
Residence: 3 Acorn Lane	e, Lincoln, MA 01	773
Citizenship: U.S.A.		
Post Office Address: san	ne	

DS1.424744.1





Full name of second inventor: Samol Saha Date: 08-24-98 Inventor's signature: Residence: USA Citizenship: SWEDI3H ARLINGTOW MA 02474 Rd. SUNSET Post Office Address: 24 MA Full name of third inventor: Mark Ptashne Date: Inventor's signature: Residence: 1075 Park Avenue, New York, NY 10120 Citizenship: U.S.A. Post Office Address: Same

DECLARATION

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NOVEL TRANSCRIPTIONAL REGULATORS AND USES THEREFOR

the specification of which (I authorize Choate, Hall & Stewart to check one of the following, three choices, and fill in the blanks, if applicable):

is	attached hereto		
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on August		ernational application No. PCT as amended under PCT Article (if applicable).	
		iewed and understood the cont as amended by any amendment	
		lisclose information which is notice 37, Code of Federal Regu	
foreign application below any foreign	on(s) for patent or i	ty benefits under Title 35, Uni nventor's certificate listed belo atent or inventor's certificate h is claimed:	ow and have also identified
Prior Foreign Ap	plication(s):	Priority Claime	d
(Number)	(Country)	(Day/Month/Year/Filed)	Yes No
(Number)	(Country)	(Day/Month/Year/Filed)	Yes No

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Full name of first invento	or: <u>Kevin A. Jarrel</u>	1
Inventor's signature:		Date:
Residence: 3 Acorn Lane	e, Lincoln, MA 017	773
Citizenship: U.S.A.		
Post Office Address: san	ne	

Full name of second inventor: Samol Saha		
Inventor's signature:	Date:	
Residence: 24 Sunset Road, Arlington, MA 02474		
Citizenship: U.S.A.		
Post Office Address: Same		
•		
Full name of third inventor; Mark Ptashne		
Inventor's signature: Mull Lashe	Date:	
Residence: 1075 Park Avenue, New York, NY 10120		
Citizenship: U.S.A.		
Post Office Address: Same		·
DS1.424744.1		